

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/927,628 | 08/10/2001 | Andrew H. Pritchard | CF/ 024 |

1473
FISH & NEAVE
1251 AVENUE OF THE AMERICAS
50TH FLOOR
NEW YORK, NY 10020-1105

CONFIRMATION NO. 5363

FORMALITIES LETTER



OC000000006557688

Date Mailed: 09/14/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/01/2001 BABRAHA1 00000094 09927628

01 FC:105

130.00 OP

Section #3

PATENTS
CF/24



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Andrew H. Pritchard
Application No.: 09/927,628 Confirmation No.: 5363
Filed : August 10, 2001
For : SYSTEMS AND METHODS FOR DEVELOPING
AND ADMINISTERING INVESTMENT TRUSTS
Group Art Unit : 2162
Examiner : Not Yet Assigned

New York, New York 10020
September 25, 2001

Commissioner for Patents
Washington, D.C. 20231

Attention: Box Missing Parts

RESPONSE TO NOTICE TO FILE MISSING PARTS

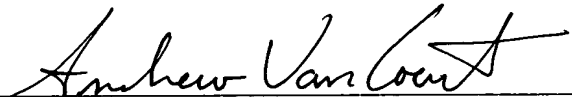
Sir:

Responsive to the Notice to File Missing Parts
of Application mailed September 14, 2001, applicant
hereby submits the following:

1. A copy of the September 14, 2001 Notice to File Missing Parts;
2. Executed Declaration and Power of Attorney; and
3. A check in the amount of \$130.00 in payment of the surcharge.

The Director is hereby authorized to charge payment of any additional fees due in connection with the papers transmitted herewith, or to credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this paper is enclosed.

Respectfully submitted,



Andrew Van Court
Registration No. 48,506
Agent for Applicant
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1104
Tel.: (212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to:
COMMISSIONER FOR
PATENTS
WASHINGTON, D.C. 20231 on

September 25, 2001
Lillian Garcia


Signature of Person Signing